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1615


PATENT  
Attorney Docket No. MIT-171  
(058420/158925)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Watts CONFIRMATION NO.: 4741  
SERIAL NO.: 10/533,372 GROUP NO.: 1615  
FILING DATE: April 29, 2005 EXAMINER: Not yet assigned  
TITLE: WAVELENGTH INSENSITIVE INTEGRATED OPTIC  
POLARIZATION SPLITTER

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

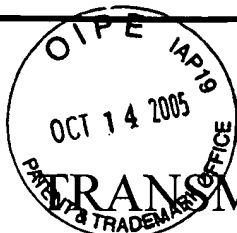
I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 12<sup>th</sup> day of October 2005.

  
Wendy L. Martin

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Submitted herewith are:

1. Transmittal Form (1 page);
2. Supplemental Information Disclosure Statement (2 pages);
3. Form PTO-1449 (1 page);
4. Copies of cited references C3 - C4; and
5. Return receipt postcard.



TRANSMITTAL  
FORM

|                           |                  |
|---------------------------|------------------|
| Application Serial Number | 10/533,372       |
| Filing Date               | April 29, 2005   |
| First Named Inventor      | Watts            |
| Group Art Unit            | 1615             |
| Examiner Name             | Not yet assigned |
| Attorney Docket No.       | MIT-171          |
| Patent No.                | Not applicable   |
| Issue Date                | Not applicable   |

ENCLOSURES (check all that apply)

|   |   |  |
|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form   | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application<br><input type="checkbox"/> Formal Drawing(s)  | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences<br><input type="checkbox"/> Appeal Brief (in triplicate)  |
| <input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> Preliminary<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____] | <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal<br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Status Inquiry<br><input checked="" type="checkbox"/> Return Receipt Postcard<br><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 |
| <input type="checkbox"/> Petition for Extension of Time   | <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application  | <input type="checkbox"/> Additional Enclosure(s) (please identify below)   |
| <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement<br><input checked="" type="checkbox"/> Form PTO-1449<br><input checked="" type="checkbox"/> Copies of cited references C3-C4  | <input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> CD(s) for large table or computer program   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)   | <input type="checkbox"/> Amendment After Allowance  |  |
| <input type="checkbox"/> Sequence Listing submission<br><input type="checkbox"/> Paper Copy/CD<br><input type="checkbox"/> Computer Readable Copy<br><input type="checkbox"/> Statement verifying identity of above   | <input type="checkbox"/> Request for Certificate of Correction<br><input type="checkbox"/> Certificate of Correction (in duplicate)   |  |

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| <b>CORRESPONDENCE ADDRESS</b>  | <b>SIGNATURE BLOCK</b>  |
| Direct all correspondence to:<br>Patent Administrator<br>Goodwin Procter LLP<br>Exchange Place<br>Boston, MA 02109<br>Tel. No.: (617) 570-1000<br>Fax No.: (617) 523-1231<br>Customer No. 051414 | Respectfully submitted,<br><br>Natasha C. Us<br>Attorney for the Applicants<br>Goodwin Procter LLP<br>Exchange Place<br>Boston, MA 02109<br>Date: October 12, 2005<br>Reg. No.: 44,381<br>Tel. No.: (617) 570-1806<br>Fax No.: (617) 523-1231 |



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Attorney Docket No. MIT-171

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POLARIZATION SPLITTER

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Respectfully submitted,

Date: Oct. 11, 2005  
Reg. No. 44,381

Natasha C. Us  
Natasha C. Us  
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VER 12/00



|  |   |  |      |  |                        |              |                               |                  |                          |
|--|---|--|------|--|------------------------|--------------|-------------------------------|------------------|--------------------------|
| <b>FORM PTO - 1449</b><br><br><b>SUPPLEMENTAL INFORMATION<br/>DISCLOSURE STATEMENT</b> |   |  |      | <b>ATTORNEY DOCKET NO.:</b> MIT-171<br><br><b>APPLICANT(S):</b> Watts<br><br><b>SERIAL NO.:</b> 10/533,372<br><br><b>FILING DATE:</b> April 29, 2005<br><br><b>GROUP:</b> 1615 |                        |              |                               |                  |                          |
| <b>U.S. PATENT DOCUMENTS</b>   |   |  |      |  |                        |              |                               |                  |                          |
| EXAM.<br>INIT.   |   | DOCUMENT<br>NUMBER   | DATE | NAME   | CLASS                  | SUB<br>CLASS | FILING DATE IF<br>APPROPRIATE |                  |                          |
|  |   |  |      |  |                        |              |                               |                  |                          |
|  |   |  |      |  |                        |              |                               |                  |                          |
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|  |   |  |      |  |                        |              |                               |                  |                          |
| <b>FOREIGN PATENT DOCUMENTS</b>  |   |  |      |  |                        |              |                               |                  |                          |
| EXAM.<br>INIT.   |   | DOCUMENT<br>NUMBER   | DATE | COUNTRY<br>CODE  | CLASS                  | SUB<br>CLASS | FILING<br>DATE                | ABSTRACT<br>ONLY | ENGLISH<br>LANG<br>(Y/N) |
|  |   |  |      |  |                        |              |                               |                  |                          |
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|  |   |  |      |  |                        |              |                               |                  |                          |
|  |   |  |      |  |                        |              |                               |                  |                          |
| <b>OTHER ART, JOURNAL ARTICLES, ETC.</b>   |   |  |      |  |                        |              |                               |                  |                          |
| EXAM.<br>INIT.   | <b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b> |  |      |  |                        |              |                               |                  |                          |
|  | C3  | Fimmwave by Photon Design., from website:<br><a href="http://www.photond.com/products/fimmwave/fimmwave1.htm">http://www.photond.com/products/fimmwave/fimmwave1.htm</a> , (printed September 8, 2005) |      |  |                        |              |                               |                  |                          |
|  | C4  | M.R. Watts, "Wavelength switching and routing through evanescently induced absorption,"<br>Master's thesis, Massachusetts Institute of Technology (June 2001).   |      |  |                        |              |                               |                  |                          |
| <b>EXAMINER</b>  |   |  |      |  | <b>DATE CONSIDERED</b> |              |                               |                  |                          |

VER 9/00